

QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)
Guantanamo Port Operations Services

1. The primary purpose of this support is to provide professional expertise for the Guantanamo Port Operations.

The contractor shall coordinate with the Contracting Officer's Representative (COR) to ensure the objective of the Quality Assurance Surveillance Plan (QASP) is met. The objective of the QASP is to serve as the principal basis for assessing overall performance quality associated with GTMO Port Operations and Maintenance. This document will be used by the Government to assess the effectiveness of the Contractor's management and logistics support. This QASP provides the methodology by which the Contractor's performance will be monitored to determine compliance with established performance objectives and to establish performance benchmarks that ensure a quantifiable basis for measuring effectiveness. The plan is designed so that surveillance is limited to that which is necessary to verify the Contractor is performing management and technical services satisfactorily and relates directly to performance objectives of the performance objectives delineated in the PWS.

2. Performance Standards. The QASP provides a systematic method to evaluate the service the Contractor is required to furnish. The COR will assess the Contractor's performance to ensure the Contractor is performing up to the specified standards. The performance standards for this performance work statement are stated in the Performance Requirements Summary (PRS) included in this QASP. The standards are subjective for this requirement.

3. Management and Oversight. The Government will conduct systematic surveillance of all aspects of this contract to ensure all requirements of the performance work statement (PWS) are satisfactorily fulfilled. However, the Government's quality assurance program is not a substitute for the contractor's quality control program. The QASP is based on the premise that the Contractor and not the Government, is responsible for the management and any Quality Control action required to meet the terms of the contract. The Government expects the contractor to detect and correct deficiencies before products and services are delivered to customers, as specified in the contractor's approved quality control plan.

The Government will rely on the contractor's quality control program, which shall be part of its proposal. The plan shall discuss the contractor's overall approach and procedures for evaluating each of the major service areas contained in the performance work statement (PWS), communicating with the Government, resolving deficiencies, and identifying potential improvements.

The performance requirements recognize that the Contractor is not a perfect manager and that unforeseen requirements and uncontrollable problems do occur. Good management and use of an adequate Quality Control Plan will allow the Contractor to operate within specific performance requirements. QASPs are designed to be objective, fair, and consistent in evaluating Contractor performance against the provided standards. The contractor's quality control plan will be reviewed and approved prior to contract award.

4. Relationship of QASP to the Contract.

This QASP is not part of the solicitation nor will it be made part of any resulting contract. The Government will provide the successful offeror an information copy of the QASP to enable the offeror to enhance its quality control program that interrelates with the Government's QASP. The Government will retain the right to change the surveillance methods and quality assurance procedures as well as to increase or decrease the degree of surveillance efforts at any time necessary to assure contract compliance.

5. Acceptable Quality Levels (AQLs). AQLs have been established in the enclosed PRS and provide performance standards the Contractor will be required to meet in performance of the contract. In the event the Contractor does not meet the established AQLs, the contracting officer (KO) has the right to exercise the negative incentives stated in this QASP.

6. Primary Method of Surveillance/Evaluation. The COR will perform evaluation based on using one or more of the various methods outline in the PRS Table included in this QASP. The following methods may be incorporated into the PRS to monitor contract performance:

- 100% inspection: Inspection where specific characteristics of every performance unit are examined and tested to determine conformance with requirements.
- Random inspection/Contract Discrepancy Inspections (CDI): Sampling method in which each unit of the population has an equal chance of being selected.
- Customer Surveys and Feedback: A review method where customers and end users are surveyed to provide input on specific service levels.

7. Performance Incentives. The following non-monetary incentives may be considered when evaluating contractor performance:

- Contract Length Considerations (options and award terms)
- Past Performance Evaluation
- Letters of Recommendation

8. Substandard Performance. If any of the performance requirements do not meet the AQL set in the PRS table, the COR shall document the discrepancy(s) and shall notify the KO promptly. The KO will then take the appropriate action with the contractor to remedy the substandard performance. When the performance is below the AQL standard, the Government may initiate one or more of the following:

- Implement increased surveillance and/or Contractor reporting
- Adverse performance documentation in the Contractor's Performance Assessment Reporting System (CPARS).
- Contract Length Considerations (not exercising options)
- Termination for Default

9. Notification. The COR will notify the KO, in writing, of unacceptable quality levels. The KO will promptly provide written notification of discrepancies on a monthly basis, or immediately if the situation significantly affects the well-being of the project. The Contractor will be given the opportunity to respond, in writing, to each discrepancy.

10. Response. The Contractor shall provide a written response to the cause and the corrective action to prevent recurrence within 45 working days after receipt of KO's notification. The Contractor should cite specific quality assurance program procedures or new procedures instituted to prevent recurrence.

11. Records. The COR will maintain contract surveillance files as directed by the KO. Surveillance files will include, as a minimum, the following documentation for this Firm Fixed Priced contract:

- a. COR designation and appointment letters.
- b. A copy of the contract and all contract modifications.
- c. QASP, Quality Control Plan, Safety Plan and Hazardous Plan and other monitoring tools, checklists, etc.
- d. All correspondence including KO notifications and the Contractor's response.
- e. Contractor reports, i.e., training plans, course outlines, maintenance training anomalies, etc.
- f. Monthly evidence of satisfactory performance
- g. Surveillance reports and a summary of the surveillance logs prepared by the COR and submitted to the KO annually.
- h. Copies of deficiency reports that may be submitted in support of unacceptable performance identified during the performance period by the COR, or when there is a significant change in the assessment in one or more evaluation areas.
- i. Annual in-progress reviews conducted and entered into CPARS.

12. Ratings. The following criteria will be used for performance evaluations: Exceptional, Very Good, Good, Marginal, or Unsatisfactory. Upward or downward arrows may be used to indicate an improving or worsening trend insufficient to change to the assessment status.

- a. **Exceptional.** Performance meets contractual requirements and exceeds many requirements to the Government's benefit. There were no problems requiring corrective action.
- b. **Very Good.** Performance meets contractual requirements and exceeds some to the Government's benefit. The contractual performance of the task and sub-task being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.
- c. **Good.** Performance meets contractual requirements. The area of evaluation contains some minor problems for which the corrective actions appear satisfactory.
- d. **Marginal.** Performance does not meet some contractual requirements. The area of evaluation contains one or more serious problems for which corrective actions have not yet been identified, appear only marginally effective, or have not been fully implemented.
- e. **Unsatisfactory.** Performance does not meet contractual requirements and recovery is not likely in a timely manner. The area of evaluation contains one or more serious problems for which the corrective actions appear ineffective.

13. **Documentation.** Documentation used and referenced to perform surveillance will consist of monthly reports, contractor plans and procedures, schedules, customer feedback and contract data requirements.

- a. **Recording Observations.** Use Surveillance Logs to record information on scheduled observations and deficiencies noted. Each observation is recorded on the log. The documents then become a formal record for reference. The Contractor is to be notified each time a deficiency is found during scheduled observations. The COR makes a notation on the Surveillance Log of the date and time the deficiency was discovered. Then, the COR asks a contractor task leader to initial the notation, documenting notification of the deficiency only.
- b. **Potential Unacceptable Performance.** The COR must identify the specific service that is unacceptable and the possible causes, and ask a number of questions which if answered, will likely pinpoint the source of the problem.
- c. **Documenting Unacceptable Performance.** The COR must attempt to resolve the problem with the contractor. The original log and the attempted solution (along with an evaluation of results) are forwarded to the KO through the COR.

Based on the severity of the discrepancy and the success of the solution, the COR will notify the KO. The Contractor shall complete a response to the unacceptable evolution if requested by the Contracting Officer or by its own choice.

14. **Taking Action.**

- a. The COR may evaluate the contractor's performance and document any non-compliance, and report it to the KO. Action may be taken against the contractor for an unacceptable rating.
- b. When the contractor's performance is unacceptable and a formal action is indicated, the COR will determine what action is appropriate for the specific circumstances and make a recommendation to the KO.

15. **Documentation.** The COR retains a copy of all inspection schedules and surveillance activity logs during the course of the contract, and forwards them for inclusion in the contract file at the end of the surveillance period. However, when a specific service becomes unsatisfactory during a surveillance period, the inspection documentation supporting the contract discrepancy report is forwarded to the KO.

16. Performance Metrics:

Requirement	Performance Standard	Acceptable/Unacceptable	Monitoring Method
Vessel/Equipment Readiness	Timeliness 100% Quality 100%	Acceptable: A non-availability notice is submitted to the COR within one hour of any boat and/or equipment failure or damage occurrence (Section C4.7) Unacceptable: A non-availability notice is submitted to the COR after one hour of any boat and/or equipment failure or damage occurrence (Section C4.7)	Random Sampling
Meeting Proposed Boat Schedules	Timeliness >95% Quality >95%	Acceptable: The Contractor meets the schedule provided (Sections C6, C7, C8, C9 and C10). Unacceptable: The Contractor fails to meet the operational schedule provided (Sections C6, C7, C8, C9 and C10).	Random Sampling
Shipyard Availabilities	Timeliness >95% Quality >95%	Acceptable: The Contractor provide a POA&M and procedures within 45 days of the earliest ask date in the POA&M agreed to each year for planned availabilities. (Section C13). Unacceptable: The Contractor provide a POA&M and procedures after 45 days of the earliest ask date in the POA&M agreed to each year for planned availabilities. (Section C13).	Random Sampling
Reports	Timeliness >95% Quality >95%	Acceptable: A required report submitted within the timeframe and required (Section C20). Unacceptable: A required report received after the required date (Section C20).	Random Sampling

17. Performance Requirements Summary (PRS). The performance standards for this PWS are stated in the PRS Attachment 4.